Subject: Placing and Releasing an Alert in the Central Registry	Number: 650-51
Effective Date: 6/22/2015	

PURPOSE:
To increase communication and consistent application of certification eligibility criteria, this policy provides certifying entities with a standardized process for review of criminal record information and documentation of pending and completed investigations in the Central Registry.

REGULATION GUIDANCE:
Certifying entities and EMSA staff will review applicant Criminal Offender Record Information (CORI) results, and document the Central Registry information prior to certification and upon receipt of subsequent criminal activity notifications from the Department of Justice (DOJ).

Certifying Entity Responsibilities:
1. Prior to issuing certification, a certifying entity will receive and review CORI results from the DOJ and the Federal Bureau of Investigation (FBI).
2. DOJ and FBI CORI results that indicate a potential for disciplinary cause must be reviewed, investigated and documented in the central registry by placing an alert of "pending investigation".
   o An individual shall be denied for EMT certification when they have certain criminal history as specified in Cal. Code of Regs., Title 22, Div. 9, Chapter 6, § 100214.3(c)(1) through-(9) and in Health and Safety Code §1798.200(c)(1) through (c)(1 2).
3. A non-LEMSA certifying entity must refer an EMT applicant to a LEMSA for certification when a there is a potential for disciplinary cause, based on an investigation by the certifying entity prompted by a DOJ and/or FBI CORI.
4. An alert to "review for investigation" or documenting a pending investigation will be placed on the applicant profile or EMT record.

EMSA Responsibilities:
1. EMSA staff will review the secondary copy of CORI reports and place an alert as needed, documenting "review for investigation" in the applicant profile or EMT record when criminal conduct reported in the CORI indicates a potential for disciplinary cause as specified in Cal. Code of Regs., Title 22, Div. 9, Chapter 6, Section 100214.3 and HSC 1798.200
2. EMSA staff will also send a letter to notify the certifying entity listed on the CORI report of the CORI results that may warrant an investigation.

Note: An alert can be placed by a non-LEMSA certifying entity, a LEMSA or EMSA staff.

PROCEDURE:
This procedure will address review of criminal history reported in the FBI/DOJ Criminal Offender Record Information (CORI), and will provide instruction for documenting the Central Registry. *If a CORI report does not reflect any criminal history, refer to the procedure for EMT certification located at the bottom of the EMT webpage.*

Review of CORI Record:
All criminal history reported on a CORI report that may be a potential violation of the Health and Safety Code § 1798.200 must be investigated. Certain criminal history will prevent an individual from becoming certified, and other criminal history may result in the certificate being placed on probation for a set period of time.

Before a certification maybe issued, a certifying entity must review both the DOJ and FBI results and investigate any criminal history to ensure that a certificate may be issued.

Both statute (Health and Safety Code § 1798.200(c)(1) through (c)(1 2)) and regulation (Cal. Code Regs., Tile 22, Div. 9, Ch. 6, § 100214.3(a)(1) through (9) and (d)(1) through (2)-) outline criminal history that "shall not" result in a certification.

Information provided on an applicant's CORI report that may be a potential violation of Health and Safety Code § 1798.200(c)(1) through (c)(1 2) and Cal. Code Regs., Title 22, Div. 9, Ch. 6, § 100214.3(a)(1) through (9) and (d)(1) through (2) must be verified through an investigation and documented in the Central Registry as an alert.

Documenting an alert:
When criminal history information on a CORI report requires an investigation, an alert will be placed by the LEMSA on the EMT record or person profile to reflect a pending investigation.

First, verify EMT certification status using the Central Registry.
In the left column of the Central Registry under Licensee click >Edit to begin a search for the EMT record using the social security number.

If the search does not provide an EMT record, the applicant has a "profile" only, but is not certified. Search for the "profile" using the social security number in the Applicant > Edit module.

Next, select the EMT record or applicant profile to open the record.
(EMT record shown)

Search Results				Page 1 of 1		
Name / License Type	Address	Subtype	License Number	Hold/Alert	License Status	
Voyance, Clare	5555 Auburn Blvd Sacramento CA 95841					
EMT	5555 Auburn Blvd Sacramento CA 95841		E108473		Active	

Archive | Rescind

Under the "Tasks" menu on the right side of the screen, click the "Hold/Alert" option

Licensee

SERVICES   TASKS

Person	Facility					Hold/Alert
Search	Clear					Print

Search Results				Page 1 of 1		Change License Status
Name / License Type	Address	Subtype	License Number	Hold/Alert	License Status	Merge License
Voyance, Clare	5555 Auburn Blvd Sacramento CA 95841					Change Expiration Date
EMT	5555 Auburn Blvd Sacramento CA 95841		E108473		Active	History

Archive

You will see any previous holds or alerts that have been placed on the record. Click on the notepad to review information about the reason for the alert.

Licensee > Hold/Alerts

Summary					
Name	Address	License Type	License Number	License Status	
Clare Voyance	5555 Auburn Blvd Sacramento CA 95841	EMT	E108473	Active	

Holds and Alerts				
Hold Type	Reason	Date Placed	Date Released	Placed By
Alert	Review for Investigation	02/04/2015	02/04/2015	smerl
Alert	Pending Investigation	02/04/2015	02/05/2015	smerl

Add

Click the "Add" tab to enter an alert

Back

In the "Add Hold or Alert" panel, the "Type" defaults to Alert.

Licensee > Hold/Alerts

Summary					
Name	**Address**		**License Type**	**License Number**	**License Status**
Clare Voyance	5555 Auburn Blvd	Sacramento CA 95841	EMT	E108473	Active

Add Hold or Alert

Type Alert ▾
Reason Audit Must Be Completed Before Renewal ▾
Date Placed 03/06/2015 ▾

Add | Cancel

Hold/Alert Details

Hold Level	Date Released	Released By
☑ Hold on Person		
☐ Certifying Entity		
☐ EMT (#E108473)		

In the "Add Hold or Alert" panel, use the dropdown arrow to change the "Reason" to "Pending investigation".

Licensee > Hold/Alerts

Summary					
Name	**Address**		**License Type**	**License Number**	**License Status**
Clare Voyance	5555 Auburn Blvd	Sacramento CA 95841	EMT	E108473	Active

Add Hold or Alert

Type Alert ▾
Reason Pending Investigation ▾
Date Placed 03/06/2015 ▾

Add | Cancel

Hold/Alert Details

Hold Level	Date Released	Released By
☐ Hold on Person		
☐ Certifying Entity		
☑ EMT (#E108473)		

In the "Hold/Alert Details" panel, check the box for "EMT" if the individual is certified. This will place the alert on the EMT record only.
If there is a profile record only, check the box for "Hold on Person".

Click the "Add" tab to add the alert.

Next, click on the notepad icon to add a note about the pending investigation and who to contact for more information. Other certifying entities will be able to review this note.

Holds and Alerts

Hold Type	Reason	Date Placed	Date Released	Placed By
Alert ✏	Pending Investigation	02/27/2015		lwitchey

Add

Hold/Alert Details

Hold Level	Date Released	Released By
☐ Certifying Entity		
☑ EMT (#▩▩▩▩▩▩)		

Save

Enter a remark and click the "Save" tab.

Add Remark

Investigating CORI results. Contact Bob for more information (916-555-1212)

Save | Clear

Back

Click the "back" button to return to the previous screen.

Licensee > Hold/Alerts > Remarks

Summary

Name	Address	License Type	License Number	License Status
Clare Voyance	5555 Auburn Blvd Sacramento CA 95841	EMT	E108473	Active

Holds Alerts Summary

Hold Type	Reason	Date Placed	Date Released	Placed By
Alert	Pending Investigation	03/06/2015		TestEMT

Remarks List

Date Last updated	Remarks	Updated By
03/06/2015 09:50:31 AM	Investigating CORI results. Contact Bob for more information (916-555-1212)	TestEMT

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The Alert is now active.

Current Hold/Alert Exists

Releasing an Alert:

When your investigation is complete, the alert should be released from the EMT record or person profile, and the remarks should be updated to summarize the investigation results.

In the left column of the Central Registry under Licensee click >Edit to begin a search for the EMT record using the social security number.

Next, select the EMT record or applicant profile to open the record.
(EMT record shown)

Current Hold/Alert Exists

For questions, please contact the EMSA Enforcement Liaison at (916) 431-3692. Page 6

Under the "Tasks" menu on the right side of the screen, click the "Hold/Alert" option

You will see any previous holds or alerts that have been placed on the record.

Click on the notepad icon

In the Remarks List panel, click the remark date to update the remarks with a summary of the completed investigation.

Holds Alerts Summary

Hold Type	Reason	Date Placed	Date Released	Placed By
Alert	Pending Investigation	02/27/2015		lwitchey

Remarks List

Date Last updated	Remarks	Updated By
02/27/2015 01:10:17 PM	Investigating CORI results. Contact Lisa Witchey (916)431-3707 for more information.	lwitchey

Edit Remark

```
Investigation complete.  Probation agreement signed.
```

Save | Clear

⬆ Click the "Save" tab and then click the "Back" button.

Back

Click the underlined <u>EMT number</u> to access the alert.

Holds and Alerts

Hold Type	Reason	Date Placed	Date Released	Placed By
Alert ▢	Pending Investigation	02/27/2015		lwitchey

Add

Hold/Alert Details

Hold Level	Date Released	Released By
▢ Certifying Entity		
☑ EMT (#E107091)		

Save

Back

Hold/Alert Details

Hold Level	Date Released	Released By
▢ Certifying Entity		
☑ EMT (#E107091)		

Release | Save

Click the "Release" tab and click the "Back" button to release the alert.

The alert is now released. Alert history, including remarks, are available for review by accessing the Hold/Alert through the Tasks menu.